OIPE JC158
NOV 24 2003
PATENT & TRADEMARK OFFICE

PATENT APPLICATION
Docket: 15436.247.51.1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of	
	Venna et al.
Serial No.:	10/691,376
Confirmation No.:	Unknown
Filed:	October 22, 2003
For:	OPTOELECTRONIC SEMICONDUCTOR DEVICE

CERTIFICATE OF DEPOSIT UNDER 37 C.F.R. § 1.8

I hereby certify that the following documents are being deposited with the United States Postal Service as first class mail, postage prepaid, in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on this 20th day of November, 2003:

- Transmittal for Information Disclosure Statement (3 pgs.)
- Information Disclosure Statement (2 pgs.)
- Form PTO-1449 (2 pgs.)
- Copies of thirteen (13) references
- Postcard

Respectfully submitted,

E. L. Maschoff

ERIC L. MASCHOFF
Attorney for Applicant
Registration No. 36,596
Customer No. 022913

ELM:kjb
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PATENT APPLICATION
Docket No: 15436.247.51.1

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Serial No.: 10/691,376	)
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Confirmation No.: Unknown	)
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Filed: October 22, 2003	)
	)
For: OPTOELECTRONIC SEMICONDUCTOR DEVICE	)
	)

TRANSMITTAL FOR INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Transmitted herewith for filing and pursuant to 37 C.F.R. § 1.97 is an Information Disclosure Statement, which includes the following statements, if any, required variously by 37 C.F.R. § 1.98:

___ Statement of relevance of selected cited references not in the English language which are not translated.

___ Statement that selected cited references are substantially cumulative of an enclosed or previously submitted reference.

___ Statement that selected cited references were previously cited by or submitted to the United States Patent and Trademark Office in a prior application which is relied upon for an earlier filing date under 35 U.S.C. § 120.

A. Additional Materials Required Due to Content of Information Disclosure Statement

Transmitted are the following documents in addition to the Information Disclosure Statement as required variously under 37 C.F.R. § 1.98:

X Form PTO-1449 listing thirteen (13) references submitted for consideration.

X Copies of thirteen (13) of the references listed on the Form PTO-1449.

B. Additional Materials Required Due to Timing of Filing of Information Disclosure Statement

The transmitted Information Disclosure Statement is being filed within one (1) of the following four (4) time periods:

I. X Prior to the later of either three (3) months following the filing date or the mailing of a first Office Action. Accordingly, no materials other than those listed above are enclosed.

II. ___ Following the latter of either three (3) months following the filing date or the mailing of a first Office Action, but before the mailing of a final Office Action or a Notice of Allowance. Accordingly, to secure consideration thereof, one (1) of the following is also enclosed:

___ Promptness Certification; or

___ Check No. _____ in the amount of $180.00 constituting the submission fee set forth in 37 C.F.R. § 1.17(p).

III. ___ After the mailing of a Notice of Allowance, but before payment of the Issue Fee. Accordingly, in order to secure consideration thereof, each of the following are also enclosed:

___ Promptness Certificate;

___ Petition for Consideration; and

___ Check No. in the amount of $_____ constituting the petition fee set forth in 37 C.F.R. § 1.17(i)(1).

IV. ___ After payment of the Issue Fee. Accordingly, in order to secure consideration thereof, each of the following are also enclosed:

___ Petition to Withdraw from Issue; and

___ Check No. _____ in the amount of $_____ constituting the petition fee set forth in 37 C.F.R. § 1.17(i)(1).

C. Fees

The Commissioner is hereby authorized to charge payment of or any deficiency in the following fees associated with this communication, or to credit any overpayment thereof, to Deposit Account No. 23-3178. A duplicate copy of this letter is enclosed.

X Any fee required in relation to filing of this letter or any documents transmitted therewith.

___ The submission fee set forth in 37 C.F.R. § 1.17(p) in the event that 37 C.F.R. § 1.97(c) applies and the Examiner is not satisfied that any Promptness Certificate submitted meets the requirements of 37 C.F.R. § 1.97(e).

___ The submission fee set forth in 37 C.F.R. § 1.17(p).

___ The petition fee set forth in 37 C.F.R. § 1.17(i)(1).

Dated this 20th day of November, 2003.

Respectfully submitted,



ERIC L. MASCHOFF
Attorney for Applicant
Registration No. 36,596
Customer No. 022913

ELM:kjb
Enclosures
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NOV 24 2003
PATENT & TRADEMARK OFFICE

PATENT APPLICATION
Docket No: 15436.247.51.1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of	Venna et al.
Serial No.:	10/691,376
Confirmation No.:	Unknown
Filed:	October 22, 2003
For:	OPTOELECTRONIC SEMICONDUCTOR DEVICE
Examiner:	Unknown

INFORMATION DISCLOSURE STATEMENT
UNDER 37 C.F.R. § 1.97

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Please find, pursuant to 37 C.F.R. § 1.98(a)(1), the enclosed Form PTO-1449 which contains a list of all patents, publications, or other items that have come to the attention of one or more of the individuals designated in 37 C.F.R. § 1.56(c). While no representation is made that any of these references may be "prior art" within the meaning of that term under 35 U.S.C. §§ 102 or 103, the enclosed list of references is disclosed so as to fully comply with the duty of disclosure set forth in 37 C.F.R. § 1.56.

Moreover, while no representation is made that a specific search of office files or patent office records has been conducted or that no better art exists, the undersigned attorney of record

believes that the enclosed art is the closest to the claimed invention (taken in its entirety) of which the undersigned is presently aware, and no art which is closer to the claimed invention (taken in its entirety) has been knowingly withheld.

In accordance with 37 C.F.R. §§ 1.97 and 1.98, a copy of each of the listed references or relevant portion thereof is also enclosed.

In accordance with 37 C.F.R. § 1.98(c), all English translations within the possession, custody, control or availability of anyone designated in 37 C.F.R. § 1.56(c) of each non-English reference, if any, are also enclosed.

DATED November 20. 2003.

Respectfully submitted,



ERIC L. MASCHOFF
Attorney for Applicant
Registration No. 36,596
Customer No. 022913

ELM: kjb
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Applicant: Venna et al.
Serial No.: 10/691,376 Att'y Docket No.: 15436.247.51.1
Filing Date: October 22, 2003 Group: Unknown
For: OPTOELECTRONIC SEMICONDUCTOR DEVICE

OIPE JC156 NOV 24 2003 PATENT & TRADEMARK OFFICE

INFORMATION DISCLOSURE CITATIONS MADE BY APPLICANT

U.S. Patent Documents

Examiner Initial*	Document Number	Issue Date	Name
_____ 1	3,467,906	09/16/69	Cornely et al.
_____ 2	3,828,231	08/06/74	Yamamoto
_____ 3	4,794,346	12/27/88	Miller
_____ 4	5,305,412	04/19/94	Paoli
_____ 5	5,436,759	07/25/95	Dijaili et al.
_____ 6	5,604,628	02/18/97	Parker et al.
_____ 7	5,805,322	09/08/98	Tomofuji

Foreign Patent Documents

Examiner Initial*	Document Number	Publication Date	Country or Patent Office
_____ 8	56006492	01/23/81	Japan
_____ 9	01129483	05/22/89	Japan

Examiner: Date Considered:

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609, draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Applicant:	Venna et al.	
Serial No.:	10/691,376	Att'y Docket No.: 15436.247.51.1
Filing Date:	October 22, 2003	Group: Unknown
For:	OPTOELECTRONIC SEMICONDUCTOR DEVICE	

Other Documents
(including author, title, pertinent pages, etc.)

Examiner Initial*

_____ 10 *"A Gain-Clamped, Crosstalk Free, Vertical Cavity Lasing Semiconductor Optical Amplifier for WDM Applications,"* by J.D. Walker, F.G. Patterson, S.P. Dijaili, R.J. Deri, Lawrence Livermore National Library

_____ 11 *"Gain Optimization in Switches Based on Semiconductor Optical Amplifiers,"* by Gibong Jeong and Joseph W. Goodman, IEEE Journal of Lightwave Technology, Vol. 13, No. 4, April 1995

_____ 12 *"Spot-Size Converted Polarization-Insensitive SOA Gate with a Vertical Tapered Submicrometer Stripe Structure,"* by N. Yoshimoto, K. Magari, T. Ito, Kawaguchi, K. Kishi, Y. Kondo, Y. Kadota, O. Mitomi, Y. Yoshikuni, Y. Hasumi, Y. Tohmori and O. Nakajima, IEEE Photonics Technology Letters, Vol. 10, No. 4, April 1998

_____ 13 *"Spot-Size Converter Integrated Semiconductor Optical Amplifiers for Optical Gate Application,"* by Shotaro Kitamura, Hiroshi Hatakeyama, Kiichi Hamamoto, Tatsuya Sasaki, Keiro Komatsu and Masayuki Yamaguchi, IEEE Journal of Quantum Electronics, Vol. 35, No. 7, July 1999

Examiner: Date Considered:

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609, draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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For:	OPTOELECTRONIC SEMICONDUCTOR DEVICE	

References Cited by Applicants

While the filing of Information Disclosure Statements is voluntary, the procedure is governed by the guidelines of Section 609 of the Manual of Patent Examining Procedure and 37 C.F.R. §§ 1.97 and 1.98. To be considered a proper Information Disclosure Statement, Form PTO-1449 shall be accompanied by a copy of each listed patent or publication or other item of information and a translation of the pertinent portions of foreign documents (if an existing translation is readily available to the applicant), an explanation of relevance of each reference not in the English language, and should be submitted in a timely manner as set out in MPEP Sec. 609.

Examiners will consider all citations submitted in conformance with 37 C.F.R. § 1.98 and MPEP Sec. 609 and place their initials adjacent the citations in the spaces provided on this form. Examiners will also initial citations not in conformance with the guidelines which may have been considered. A reference may be considered by the Examiner for any reason whether or not the citation is in full conformance with the guidelines. A line will be drawn through a citation if it is not in conformance with the guidelines AND has not been considered. A copy of the submitted form, as reviewed by the Examiner, will be returned to the applicant with the next communication. The original of the form will be entered into the application file.

Each citation initialed by the Examiner will be printed on the issued patent in the same manner as references cited by the Examiner on Form PTO-892.

The reference designations "A1," "A2," etc. (referring to Applicant's reference 1, Applicant's reference 2, etc.) will be used by the Examiner in the same manner as Examiner's reference designations "A," "B," "C," etc. on Office Action Form PTO-1142.

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Examiner: Date Considered:

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609, draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.